Mphasis
Unleash the Next

Billion Dollar Company

Global Service Provider

Applications • BPO • Infrastructure Services

Banking & Capital Markets • Insurance
Manufacturing • Media & Entertainment
Telecom • Healthcare • Life Sciences
Travel & Transportation • Hospitality
Retail & Consumer Goods
Energy & Utilities • Government

MPHASIS ON WEALTH MANAGEMENT

A dynamically changing financial services landscape demands that brokerage and wealth management firms must transform their businesses quickly in order to meet the needs of their clients.

New and demanding priorities require both a deep understanding of the challenges that Banking, Capital Markets, and Insurance companies face as well as a solid experience in providing solutions.

Below are a few of the challenges that we have observed:

- Increased complexity, higher volumes, and volatility leading to processing bottlenecks
- Top-line growth directly correlates to increased operational costs due to a lack in automation and efficiency
- Compliance spend has put tremendous pressure on operational costs
- Lack of top-line growth is forcing supporting departments to do more with less
- Upcoming inter-generational wealth transfer and changing customer dynamics are forcing wealth managers to adapt to a more digital agenda
- Increased pressure to maximize inter-operational effectiveness across lines of business greatly increases the need to manage compliance and risk
- Increased data requirements in a real-time compliance have increased people, process, and technology needs
- Development of an effective business process across multiple lines of business has shrunk operating margins
- Consumerization of IT is driving firms to increase focus on next generation solutions
- Customer experience model is increasing the need for an omni-channel approach to customer management

Being an early mover and a pioneer in Banking, Capital Markets, and Insurance has provided us with the ability to develop deep experience in Application Development, Business Process Services, and Professional Services.

Our Brokerage and Wealth Management practices are uniquely positioned to address current needs, anticipated challenges, and your strategic endeavors.

Why Mphasis

Recognized solutions for wealth managers of today and tomorrow

Being an early mover and a pioneer in Banking and Capital Markets outsourcing, we have lent credence to the concept of Business Process Services. The Mphasis BPS Center of Excellence (CoE) for Brokerage and Wealth Management is uniquely positioned to address current and anticipated challenges.

Our innovative solutions leverage an intelligent mix of business process with the help of Six Sigma and technology help create a distinction amongst competition.

Our success stories provide ample testimony from some of the largest Banking, Capital Markets, and Insurance players in the world.

In all, we bring together our consulting, technology and outsourcing expertise to provide:

- Focused strategy and roadmap for Customer Experience Management
- Integrated solutions for enhanced market competitiveness and responsiveness and meet regulatory requirements at optimum costs
- Flexible engagement models and innovative solutions to maximize operational excellence
- Specialized knowledge in various financial services segments to deliver greater business impact and minimize operational risk
- Versatile delivery capability – a smart mix of global presence for flexibility, scalability and resilience to address your needs and changing business imperatives
- Transformational solutions that fundamentally change the way business is conducted
- Solutions for post-merger integration, legacy modernization, and process re-engineering

The Mphasis Wealth Management Portfolio

Throughout the years, we have developed several solutions, processes, and services that can easily be customized for specific needs.

Front Office

- Investment & Trading Portals
- WMaaS - CRM Advisor Desktop
- Automated Marketing
- Portfolio Rebalancing

Middle Office

- Client Onboarding
  - Retail
  - Institutional
  - Advisor Services

- Document Management
- Asset Transfer Service
- Cash Management

Back Office

- Cost Basis Operations
- Tax Reporting
- Investor Services
- Corporate Actions Processing
- Reconciliation
- Retirement Services

Managed Services

- Governance, Risk & Compliance
- Remediation
- KYC / AML
- Trade Surveillance
- Managed Services Account Operations

Data Management

- Data Warehouse
- Data Maturity Model
- Semantic Modeling
- Artificial Intelligence

Collectively, our transformational services and our capabilities in omni-channel customer interaction can greatly improve your client's experience. More importantly, our solutions will allow employees to spend their valuable time where it's needed the most … with your customers.

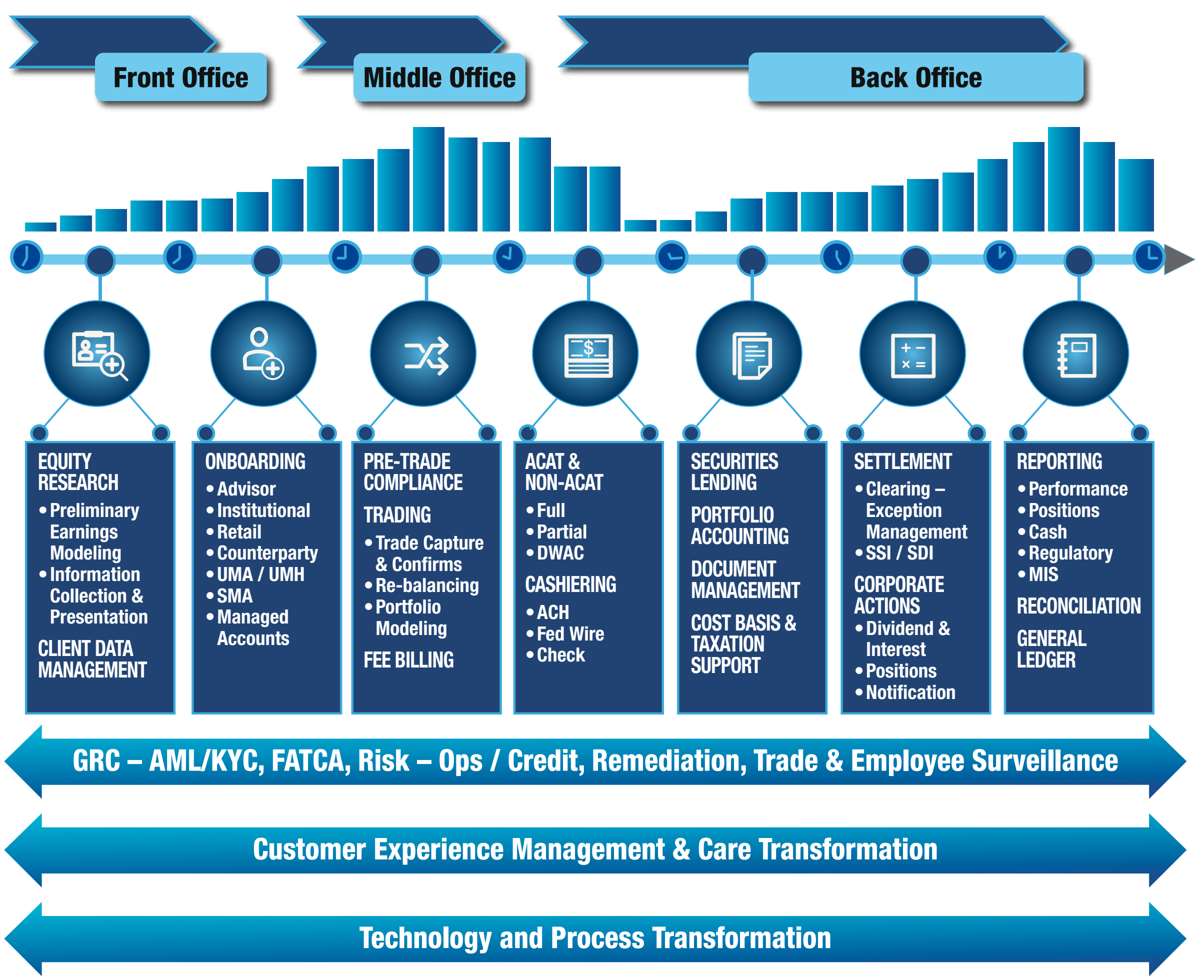
Client Servicing Solutions

- Customized solutions for clients' strategic, risk, regulatory, cost, and operating model challenges
- Value added improvements in the areas of fund accounting, data management, portfolio management, risk management and finance
- Streamline back-office services, automate processes and upgrade clearing functions

Technical and Product Support

- Our offerings are cost-effective, measurable and scalable
- Our agents are enabled with knowledge management, process improvement, case management and service enablement tools
- Automated and self-service support options that undergo continuous improvement through content production, analytics and process re-engineering

Spectrum of Services



Wealth Management Value

How we can help with a versatile and cost-effective customer models

A wealth management firm's strategy revolves around its deep and trusted relationship with its clients.
While technology provides the required infrastructure and intelligence for servicing, it is only a part of the story. Equally important are robust, efficient, and affordable operating models that help advisors achieve higher levels of performance.

Our strong domain capabilities and insights help you identify "non-core" operations in your back, middle and front office functions that we, as your outsourcing partner can offer as value-added services.

Through our gain sharing models, productivity improvements, and bundled outsourcing, we commit the following cost advantages:

- Savings up to 45–50% – with our process optimization and increased efficiency measures
- Committed productivity gains from year 1 of 'go-live' – with our expertise in Lean and Six Sigma Practices

Our innovative solutions respond quicker to market changes, develop profitable customer relationships and secure new opportunities to stay ahead of competition.

The Mphasis Knowledge Force

Domain expertise, enabled workforce, advanced analytics, and deeper insights for success

- Financial services competency center to provide the winning edge in skills and capabilities
  - Point solution for reconciliation and corporate actions
  - Next-Gen solution for cost basis
  - Transformational "Back-Office" solution to move to a more modern platform and increased STP in operations
- Strong governance and risk mitigation framework to ensure total data security
- Competently trained and enabled workforce in a range of domain and complex functions (such as cost basis and corporate action), for higher competency and faster process gestation
- Advanced analytics for deeper insights into your customer behavior, leading to increased revenues and customer loyalty
- Efficient segmentation models for customer growth
- Higher average revenue through targeted up-sell and cross-sell programs
- Improved customer retention rates through niche behavior and satisfaction analytics
- Profitable risk management by analyzing customer payment and credit patterns
- Enhanced revenue growth through optimization of product portfolios and configurations

The Mphasis Success Capsule

Our track record and experience. Your success and advantage

A global footprint with 3400+ resources supporting leading global wealth management organizations for over 10 years.

Our clientele encompasses a wide range of Fortune 500 companies such as:

- 3 of the largest North American brokerage houses
- 1 of the largest independent broker dealers firms in the US
- Top 5 universal banks
- 2 of the top 10 global investment banks
- Leading US custodian

About Mphasis

Mphasis an HP Company is a USD 1 billion global service provider, delivering technology based solutions across industries, including Banking & Capital Markets, Insurance, Manufacturing, Media & Entertainment, Telecom, Healthcare, Life Sciences, Travel & Transportation, Hospitality, Retail & Consumer Goods, Energy & Utilities, and Governments around the world. Mphasis' integrated service offerings in Applications, Infrastructure Services, and Business Process Outsourcing help organizations adapt to changing market conditions and derive maximum value from IT investments. Contact us on **www.mphasis.com**

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